

IFW C29

PTO/SB/21 (09-04)  
Approved for use through 07/31/2006. OMB 0651-0031  
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<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	Application Number	09/928,159; Patent No. 6,842,239	
	Filing Date	08/10/2001; Issued: 01/11/2005	
	First Named Inventor	Jens Bastue	
	Art Unit		
	Examiner Name		
Total Number of Pages in This Submission	5 pgs	Attorney Docket Number	01485.0015-US-01

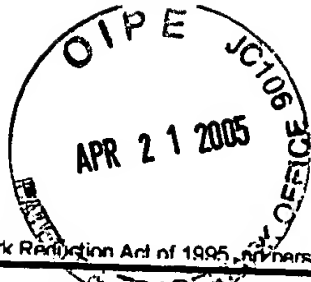
plus 1 item		ENCLOSURES (Check all that apply)	
<input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate - 2 pgs.) <input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance Communication to TC	
<input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences	
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)	
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information	
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input type="checkbox"/> Status Letter	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Terminal Disclaimer	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):	
<input type="checkbox"/> Reply to Missing Parts/Incomplete Application <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Request for Refund	Request for Certificate of Correction (1 page)	
	<input type="checkbox"/> CD, Number of CD(s) _____	Certificate of Correction (PTO/SB/44) (1 page)	
	<input type="checkbox"/> Landscape Table on CD		
Remarks		Return postcard (1 item)	

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT			
Firm Name	Altera Law Group, LLC		
Signature			
Printed name	David H. Carroll		
Date	April 19, 2005	Reg. No.	29,903

CERTIFICATE OF TRANSMISSION/MAILING			
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:			
Signature			
Typed or printed name	David H. Carroll	Date	April 19, 2005

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PTO/SB/17 (12-04v2)

Approved for use through 07/31/2006. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Effective 01/12/05/2004.

Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).

# FEE TRANSMITTAL For FY 2005

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 100

## Complete if Known

Application Number 09/928,159 Patent No. 6,842,239  
Filing Date August 10, 2001 Issued 01/11/05  
First Named Inventor Jens Bastue  
Examiner Name  
Art Unit  
Attorney Docket No. 01485.0015-US-01

## METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit Card ☐ Money Order ☐ None ☐ Other (please identify):  
☒ Deposit Account Deposit Account Number: 50-1038 Deposit Account Name: Altera Law Group, LLC

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Charge fee(s) indicated below, except for the filing fee  
☒ Charge any additional fee(s) or underpayments of fee(s) under 37 CFR 1.16 and 1.17 ☐ Credit any overpayments

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## FEE CALCULATION

### 1. BASIC FILING, SEARCH, AND EXAMINATION FEES

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid (\$)
	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	
Utility	300	150	500	250	200	100	
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	

### 2. EXCESS CLAIM FEES

Fee Description	Fee (\$)	Small Entity Fee (\$)
Each claim over 20 (including Reissues)	50	25
Each independent claim over 3 (including Reissues)	200	100
Multiple dependent claims	360	180
Total Claims		
- 20 or HP =	x	=
HP = highest number of total claims paid for, if greater than 20.		
Indep. Claims		
- 3 or HP =	x	=
HP = highest number of independent claims paid for, if greater than 3.		

### 3. APPLICATION SIZE FEE

If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

Total Sheets Extra Sheets Number of each additional 50 or fraction thereof Fee (\$) Fee Paid (\$)  
- 100 = / 50 = (round up to a whole number) x =

### 4. OTHER FEE(S)

Non-English Specification, \$130 fee (no small entity discount) Fees Paid (\$)  
Other (e.g., late filing surcharge): Certificate of Correction 100

## SUBMITTED BY

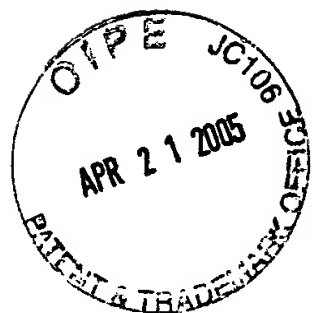
Signature [Signature] Registration No. 29,903 Telephone (952) 253-4135  
Name (Print/Type) David H. Carroll Date April 19, 2005

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Jens Bastue, et al. Serial No.: 09/928159  
Patent No.: 6,842,239 Filing Date: August 10, 2001  
Issue Date: January 11, 2005 Docket No.: 01485.0015-US-01  
Title: ALIGNMENT OF MULTI-CHANNEL DIFFRACTIVE WDM DEVICE



CERTIFICATE UNDER 37 C.F.R. 1.8: THE UNDERSIGNED HEREBY CERTIFIES THAT THIS TRANSMITTAL LETTER AND THE PAPER, AS DESCRIBED HEREIN, ARE BEING DEPOSITED IN THE UNITED STATES POSTAL SERVICE, AS FIRST CLASS MAIL, WITH SUFFICIENT POSTAGE, IN AN ENVELOPE ADDRESSED TO: ATTENTION: CERTIFICATE OF CORRECTIONS BRANCH, COMMISSIONER FOR PATENTS, P.O. BOX 1450, ALEXANDRIA, VA 22313-1450 ON APRIL 19, 2005.

DAVID H. CARROLL  
NAME

SIGNATURE

## REQUEST FOR CERTIFICATE OF CORRECTION

ATTN: Certificate of Corrections Branch  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir/Madam:

It is requested that a Certificate of Correction be issued correcting an error that appears in the above-identified United States patent. The error appears in block 1312 of FIG. 13, in which the term "1st channel pixel" is incorrect and should be changed to -ith channel pixel-. The aspect of the process flow shown in block 1312 is correctly described in the specification on multiple occasions; see, e.g., column 12, line 44 and line 53. Therefore, the mistake is of a minor character and clearly occurred in good faith, and the change in the patent does not constitute new matter and does not require reexamination. The required fee of \$100 is enclosed.

Respectfully submitted,  
Altera Law Group, LLC  
Customer No. 22865

Date: April 19, 2005

By:

David H. Carroll  
Reg. No. 29,903  
DHC/mar

04/21/2005 EAREGAY1 00000034 6842239

01 FC:1811

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**UNITED STATES PATENT AND TRADEMARK OFFICE  
CERTIFICATE OF CORRECTION**

PATENT NO. : 6,842,239  
DATED : January 11, 2005  
INVENTOR(S) : JENS BASTUE, ET AL.

It is certified that error appears in the above-identified patent and that said Letters Patent is hereby corrected as shown below.

In the drawings, Sheet 11, Fig. 13, within the block 1312, the text "Is ith channel on 1st channel pixel?" should be changed to --Is ith channel on ith channel pixel?--.

MAILING ADDRESS OF SENDER:

PATENT NO. 6,842,239

No. of additional copies



This collection of information is required by 37 CFR 1.322, 1.323, and 1.324. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1.0 hour to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Attention Certificate of Corrections Branch, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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